

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(PTO-1449)

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APPLICANT
~~Sadami TAKEOKA, et al.~~ DEGRAFF ET AL.

FILING DATE
April 21, 2004

GROUP 3694

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/SM/		US 2002/0194564	12/2002	Ysui et al.	
		US 6,519,726	02/2003	Ysui et al.	
		US 6,400,173	06/2002	Shimizu et al.	
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FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes-Number-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation
						Yes No

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER
/Shahid Merchant/

DATE CONSIDERED
03/12/2007

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 3

Complete If Known

Application Number	to be assigned
Filing Date	to be assigned
First Named Inventor	Jim Degraaf
Art Unit	to be assigned 3694
Examiner Name	to be assigned /Shahid Merchant/
Attorney Docket Number	11483-33

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
/SM/ ↓	1	US-4,348,442	08-24-1982	Musmanno	
	2	US- 4,842,788	02-10-1987	Roberts	
	3	US- 4,874,044	06-16-1987	Kalmus, et al.	
	4	US- 4,894,397	09-15-1987	Grant, et al.	
	5	US- 4,744,026	05-10-1988	Vanderbei	
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	10	US- 4,953,085	08-28-1990	Atkins	
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	13	US- 5,729,700	03-17-1998	Melnikoff	
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	16	US- 5,806,049	09-08-1998	Petruzzi	
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FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
/SM/ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓	1	EP 0,401,203 A2	12-05-90	Lupien, et al.		
	2	EP 0,573,991 A1	12-15-93	Ginsberg		
	3	EP 0,686,926 A2	12-13-95	Dembo		
	4	JP 3,077,163	04-02-91	Izumi Hiroyuki		
	5	JP 3,103,966	04-30-91	Izumi Hiroyuki		
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	7	WO 92/15064	09-03-92	Fong, et al.		
	8	WO 92/15953	09-17-92	Boes		
	9	WO 98/54666	12-03-98	Dembo, et al.		

Examiner
Signature

/Shahid Merchant/

Date
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Complete If Known

Application Number

Filing Date

First Named Inventor

Jim Degraaf

Art Unit

3694

Examiner Name

/Shahid Merchant/

Attorney Docket Number

11483-33

Sheet

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of

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/Shaheed Merchant/

Date _____

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 3 of 3

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Application Number	
Filing Date	
First Named Inventor	Jim Degraaf
Art Unit	3694
Examiner Name	/Shahid Merchant/
Attorney Docket Number	11483-33

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/SM/	1	SALMAN AZBAR, "Data Compression Techniques For Stock Market Prediction", IEEE, 1994, pp. 72, 74, 76, 78, 80, 82.	x
/SM/	2	"Hedging Tools For Investment Professionals", Wall Street Computer Review, March 1989, 3 pages of text and p. 42.	x

Examiner
Signature

/Shahid Merchant/

Date
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